



STATE OF MAINE
COMMISSION ON GOVERNMENTAL ETHICS AND ELECTION PRACTICES
Mail: 135 State House Station, Augusta, Maine 04333-0135
Office: 242 State Street, Augusta, Maine
Tel: (207)287-4179
Website: www.maine.gov/ethics

STATEMENT OF SOURCES OF INCOME
FROM JANUARY 1, 2005 THROUGH DECEMBER 31, 2005

FOR LEGISLATIVE CANDIDATES
IN THE NOVEMBER 7, 2006 GENERAL ELECTION

FULL NAME: _____
MAILING ADDRESS: _____
CITY: _____
ZIP CODE: _____
PHONE NUMBER: _____

Please check the appropriate box and fill in the District number.

☐

Candidate for the Senate, District _____

☐

Candidate for the House, District _____

GENERAL INSTRUCTIONS

1. Legislative Candidates who were not members of the 2005-2006 Legislature must file a statement listing the sources of the candidate's income during 2005. (See 1 M.R.S.A. § 1016-C.) Please file this statement with the Commission on Governmental Ethics and Election Practices by **Monday, August 7, 2006, by 5:00 p.m.**
2. The report covers you, your spouse, and your dependent children.
3. Report only specific sources of income. Dollar amounts need not be listed.
4. Campaign contributions duly recorded as required by law need not be reported in this statement.
5. Attach additional sheets if needed. Label attachments with your name, address, and the date.
6. **Please sign and date on Page 4.**

PLEASE KEEP A COPY OF THIS STATEMENT FOR YOUR FILES.

Disclosure statements are made available to
members of the public upon request.

Thank you for your cooperation.

PART I. INCOME DERIVED FROM EMPLOYMENT BY ANOTHER. Name each employer from whom you received compensation of \$1,000 or more. Specify also the principal type of economic activity of each employer.

<u>Name of Employer</u>	<u>Address</u>	<u>Principal Type of Economic Activity of Employer</u>
1. _____	_____	_____
2. _____	_____	_____
3. _____	_____	_____

PART II. INCOME DERIVED FROM SELF-EMPLOYMENT. *(For Candidates who are self-employed.)*

A. Enter the name and address of your business, if any, and list the major areas of economic activity from which you derived income. If associated with a partnership, firm, professional association, or similar business entity, list the major areas of economic activity of that entity.

<u>Name and Address of Business Entity</u>	<u>Major Areas of Economic Activity (self)</u>	<u>Major Areas of Economic Activity (partnership, association or similar business entity)</u>
1. _____	_____	_____
2. _____	_____	_____
3. _____	_____	_____

B. Name each source of income derived from self-employment that represents more than 10% of your gross income or \$1,000, whichever is greater, and specify the principal type of economic activity of the entity or person from whom you derived such income. If this form of disclosure is prohibited by law, rule, or an established code of professional ethics, specify only the principal type of economic activity of the entity or person from whom the income was derived.

<u>Name of Source</u>	<u>Address</u>	<u>Principal Type of Economic Activity of Entity or Person Who Is the Source of Income</u>
1. _____	_____	_____
2. _____	_____	_____
3. _____	_____	_____

PART III. MAJOR AREAS OF PRACTICE. *(For Candidates who are attorneys-at-law only.)* List your major areas of practice. If associated with a law firm, list the major areas of practice of your firm.

<u>Name and Address of Firm</u>	<u>Major Areas of Practice (self)</u>	<u>Major Areas of Practice (firm)</u>
1. _____	_____	_____
2. _____	_____	_____
3. _____	_____	_____

PART IV. OTHER SOURCES OF INCOME. Name each source of income of \$1,000 or more not listed in Parts I, II, or III of this form. Do not include gifts. If none, so state.

<u>Name of Source</u>	<u>Address</u>	<u>Kind of Income</u>
1. _____		
2. _____		
3. _____		

PART V. DISCLOSURE OF REPORTABLE LIABILITIES. List the names of creditors for any unsecured loans of \$3,000 or more that you received during the reporting period, and list the major areas of economic activity of each creditor. Do not list loans from a relative. If none, so state.

<u>Name of Creditor</u>	<u>Address of Creditor</u>	<u>Principal Type of Economic Activity of Creditor</u>
1. _____		
2. _____		
3. _____		

PART VI. DISCLOSURE OF GIFTS. Name the specific source of each gift of more than \$300. Include gifts with an aggregate value of more than \$300 from a single source. If none, so state.

1. _____	3. _____
2. _____	4. _____

PART VII. DISCLOSURE OF HONORARIA. List the source of any honoraria accepted for appearances or speeches related to your official duties. If none, so state.

1. _____	3. _____
2. _____	4. _____

PART VIII. REPRESENTATION BEFORE STATE AGENCIES. Identify each executive branch agency before which you represented or assisted others for compensation of any amount. If none, so state.

1. _____	3. _____
2. _____	4. _____

PART IX. BUSINESS WITH STATE AGENCIES. Identify each executive branch agency to which you or a member of your immediate family sold goods or services with a value in excess of \$1,000 during the reporting period. If none, so state.

1. _____ 2. _____

PART X. INCOME RECEIVED BY MEMBERS OF IMMEDIATE FAMILY.

List the type of economic activity representing each source of income of \$1,000 or more received by your spouse or dependent child(ren) during the reporting period and the kind of income represented. Do not include gifts. Indicate (S) beside sources of income received by spouse and (D) beside sources of income received by dependent(s).

<u>Type of Economic Activity Representing Each Source of Income Received</u>	<u>Kind of Income</u>
1. _____	_____
2. _____	_____
3. _____	_____
4. _____	_____

The intentional filing of a false statement shall be a Class E crime. If the Commission concludes that it appears that a Candidate has willfully filed a false statement, it shall refer its findings of fact to the Attorney General. If the Commission determines that a Candidate has willfully failed to file a required statement or has willfully filed a false statement, the Candidate shall be presumed to have a conflict of interest on every question and shall be precluded from voting on any question in committee or in either branch of the Legislature, and shall not attempt to influence the outcome of any question. A Candidate who willfully fails to file a required statement is subject to a civil penalty not to exceed \$1,000, payable to the State and recoverable in a civil action. (1 M.R.S.A. § 1019)

_____	_____
Signature	Date

STATEMENT OF SOURCES OF INCOME

DEFINITIONS AND INSTRUCTIONS

Please contact Commission staff at 287-4179 or come to the Commission office at 242 State Street, Augusta, if you have any questions about this form, your reporting requirements, or how to report specific situations. The staff will be glad to assist you in completing this form accurately and properly.

PART I. INCOME DERIVED FROM EMPLOYMENT BY ANOTHER. "Employee" means a person in any employment position, including public or private employment, employment with a nonprofit, religious, charitable or educational organization, or any other compensated service under an expressed, implied, oral or written contract for hire, but does not include a self-employed person. Do not include sources of income received by your spouse or dependent child(ren) in this section. Include sources of income from both full and part-time employment, if applicable. Name each employer from whom you received compensation for services, including fees, commissions and payments in-kind. A typical report would look like this:

<u>Name of Employer</u>	<u>Address</u>	<u>Principal Type of Economic Activity of Employer</u>
1. <i>Jordan Brothers</i>	<i>201 Main Street, Pinetree City</i>	<i>Retail trade, apparel</i>
2. <i>Central Medical Center</i>	<i>Waterville, Maine</i>	<i>Healthcare</i>

PART II. INCOME DERIVED FROM SELF-EMPLOYMENT. If you derive part of your income from self-employment and part from employment by another, complete both Parts I and II of this form. You are considered self-employed if you perform services for another under contract, but are not under the essential control or supervision of the other person while performing those services.

SECTION A. A typical report would look like this:

<u>Name and Address of Business Entity</u>	<u>Major Areas of Economic Activity (self)</u>	<u>Major Areas of Economic Activity (firm)</u>
<i>Sharpner & Howe 65 Lincoln Street Canton, Maine</i>	<i>Accounting</i>	<i>Financial Planning Tax Preparation Accounting</i>

SECTION B. If no source contributes more than \$1,000, you need not report. The following are typical entries:

<u>Name of Source</u>	<u>Address</u>	<u>Principal Type of Economic Activity of Entity or Person Who is the Source of Income</u>
1. <i>Southern Railways</i>	<i>598 Washington Ave., Conway, MA</i>	<i>Transportation</i>
2. <i>Eastern Paper</i>	<i>58 Lake Street, Bangor, Maine</i>	<i>Papermaking</i>

PART III. MAJOR AREAS OF PRACTICE. (For attorneys-at-law only.) For purposes of this section, "major" is defined to mean any area of practice from which the individual and/or the partnership derived income of more than 20 percent in the aggregate during the preceding year. A typical report would look like this:

<u>Name and Address of Firm</u>	<u>Major Areas of Practice (self)</u>	<u>Major Areas of Practice (firm)</u>
<i>Smith & Jones 28 Hollywood Drive Raymond, Maine</i>	<i>Probate/Wills</i>	<i>Personal Injury Workers' Compensation Probate/Wills</i>

Please see reverse side.

PART IV. OTHER SOURCES OF INCOME. Do not list sources of income in this part that were listed in Parts I, II, and III of this form. "Income" means economic gain to a person from any source, including, but not limited to:

- | | |
|---|--|
| -Gains derived from property transactions | -Pensions |
| -Rents and royalties | -Income from discharge of indebtedness |
| -Income from investments including interest, capital gains, and dividends | -Distributive share of partnership income |
| -Annuities | -Income from an interest in an estate or trust |
| -Income from life insurance and endowment contracts | -Prizes and grants |

In-kind income includes, but is not limited to, the transfer of property and options to buy or lease, and stock certificates. Income does not include gift or alimony and separate maintenance payments. A typical report would look like this:

<u>Name</u>	<u>Address</u>	<u>Kind of Income</u>
1. Brighton Telephone	2 Blake Street, Boston, MA	Investment
2. Eternal Life Insurance Company	9 School Street, Watertown, MA	Annuity

PART V. DISCLOSURE OF REPORTABLE LIABILITIES. This section is used to report and update any reportable liability. Please remember that the law requires that these liabilities be reported to the Commission within 30 days of their occurrence. Do not list amounts owed. "Relative" means an individual who is related to the Candidate or the Candidate's spouse as father, mother, son, daughter, brother, sister, uncle, aunt, great aunt, great uncle, first cousin, nephew, niece, husband, wife, grandfather, grandmother, grandson, granddaughter, father-in-law, mother-in-law, son-in-law, daughter-in-law, brother-in-law, sister-in-law, stepfather, stepmother, stepson, stepdaughter, stepbrother, stepsister, half brother or half sister, and shall be deemed to include the fiancé or fiancée of the Candidate. "Reportable liability" does not include a credit card liability; an educational loan made or guaranteed by a governmental entity, educational institution, or nonprofit organization; or a loan made from a state or federally regulated financial institution for business purposes. A typical report would look like the model shown in Part I, substituting for the employer, the name, address and principal economic activity of the creditor.

PART VI. DISCLOSURE OF GIFTS. A gift is defined as anything of value, including forgiveness of an obligation or debt, given to a person without that person providing equal or greater consideration to the giver. "Gift" does not include:

1. Gifts received from a single source during the reporting period with an aggregate value of \$300 or less;
2. A bequest or other form of inheritance;
3. A gift received from a relative; and
4. A subscription to a newspaper, news magazine, or other news publication.

PART VII. DISCLOSURE OF HONORARIA. "Honorarium" means a payment of money or anything with a monetary resale value to a Candidate for an appearance or a speech by the Candidate. Honorarium does not include reimbursement for actual and necessary travel expenses for an appearance or speech, or payment for an appearance or a speech that is unrelated to the person's official capacity or duties as a Candidate.

PART VIII. REPRESENTATION BEFORE STATE AGENCIES. Identify each state agency or authority before which you appeared for, represented, or assisted another in a matter before that state agency or authority, and indicate any compensation received.

PART IX. BUSINESS WITH STATE AGENCIES. "Immediate family" means a Candidate's spouse or dependent child(ren).

PART X. INCOME RECEIVED BY MEMBERS OF IMMEDIATE FAMILY. Names and addresses of sources of income need not be listed in this section. List only the type of economic activity representing each source of income derived by your spouse or dependent child(ren) and the kind of income represented. For the purposes of this statement, a dependent child is one for whom an exemption is claimed when filing a Federal income tax return. Refer to Part IV of instructions for a partial listing of sources of income. A typical report would look like this:

<u>Type of Economic Activity Representing Each Source of Income Received</u>	<u>Kind of Income</u>
1. Education services (teacher) (S)	Employment
2. Insurance (S)	Dividends